

STATE OF CALIFORNIA
Budget Change Proposal - Cover Sheet
 DF-46 (REV 08/15)

Fiscal Year 2016-17	Business Unit 4300	Department Developmental Services	Priority No.
Budget Request Name 4300-002-BCP-BR-2016-GB		Program 4140023 9900100/9900200	Subprogram

Budget Request Description
 FISCAL AND PROGRAM RESEARCH UNIT

Budget Request Summary

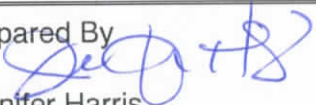


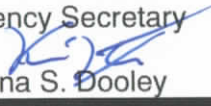
The Department of Developmental Services (Department or DDS) requests \$923,000 (\$630,000 General Fund) for 7.0 new permanent positions and the redirection of one vacant position to establish a Fiscal and Program Research Unit. This unit will provide fiscal and programmatic analyses to assist the Department's response to external requests for data and information related to the regional center and developmental center programs, as well as inform accurate, reliable, data-driven decisions.

Requires Legislation <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Code Section(s) to be Added/Amended/Repealed	
Does this BCP contain information technology (IT) components? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, departmental Chief Information Officer must sign.</i>	Department CIO	Date

For IT requests, specify the date a Special Project Report (SPR) or Feasibility Study Report (FSR) was approved by the Department of Technology, or previously by the Department of Finance.

☐ FSR ☐ SPR Project No. Date:

If proposal affects another department, does other department concur with proposal? ☐ Yes ☐ No
 Attach comments of affected department, signed and dated by the department director or designee.

Prepared By  Jennifer Harris	Date 1-6-16	Reviewed By  Jean Johnson	Date 1-6-16
Department Director  Mike Wilkening	Date 1/6/16	Agency Secretary  Diana S. Dooley	Date 1-6-16

Department of Finance Use Only

Additional Review: ☐ Capital Outlay ☐ ITCU ☐ FSCU ☐ OSAE ☐ CALSTARS ☐ Dept. of Technology

BCP Type: ☐ Policy ☒ Workload Budget per Government Code 13308.05

PPBA  Date submitted to the Legislature
1/7/16

A. Budget Request Summary

The Department of Developmental Services (Department or DDS) receives numerous legislative, executive level, federal government, stakeholder, and media inquiries for data and information on issues and topics impacting the regional center and developmental center programs and persons with developmental disabilities. In order to respond to these requests with timely and accurate information, it is critical for the Department to establish a unit with qualified research staff to analyze fiscal and programmatic data.

The purpose of the Fiscal and Program Research Unit will be to compile, research, and analyze data, and prepare reports and information to respond to requests for information. The Unit will also develop analytic products to inform policy and assist the Department in achieving its mission. The Fiscal and Program Research Unit will provide fiscal and programmatic insight and analysis for the development of accurate, reliable, and data-driven responses, recommendations, and solutions.

To support the proposed Fiscal and Program Research Unit, the Department's Information Technology Division will provide statewide data standards, data quality, and analysis of combined data sets from various data sources. The Fiscal and Program Research Unit will utilize and analyze the data to develop required reports to meet legislative, Public Records Act (PRA), research, and fiscal reporting requirements.

To staff the new Unit, DDS requests seven new permanent positions and funding to support one vacant redirected position, as follows:

- 1.0 Research Manager II
- 1.0 Research Program Specialist II
- 1.0 Research Program Specialist I
- 1.0 Research Analyst
- 1.0 Associate Information Systems Analyst (Specialist)
- 1.0 Staff Information Systems Analyst (Specialist)
- 1.0 Data Processing Manager II
- 1.0 Office Technician (Redirected Vacant Position)

Total Funds Requested	\$923,000
General Fund	\$630,000
Reimbursements	\$293,000
(from Federal Funds)	

B. Background/History

DDS does not currently have staff dedicated to research and analysis. However in recent years, the Department has received more and more requests for fiscal and programmatic information, and found it difficult to respond given the lack of resources available to perform comprehensive, detailed data research and analysis. Other departments that are similarly-sized as DDS have research units and are able to respond to informational requests in a timely manner. In addition, those departments are able to proactively analyze programmatic information, service trends, and other data, as well as conduct in-depth analyses to assist in programmatic decision making. As DDS' overall expenditures and consumer base continues to grow, the lack of data and analysis of available information is a growing concern. The establishment of an enterprise research and analysis unit will give the Department more transparency and improve decision making with solid data.

C. State Level Considerations

This proposal is in line with the Administration's requirement for decisions based on reliable and timely data and information, and it assists in increased transparency and accountability within the Department's programs and regional center system. While there are no impacts identified for other departments, the

establishment of a fiscal and programmatic research unit will enable DDS to provide improved and timely information to other California Health and Human Services Agency departments that provide services to DDS consumers or related services and populations; and to the Department of Finance, the Legislative Analyst's Office, and the Legislature for their oversight of the DDS budget.

D. Justification

DDS receives numerous time-sensitive and critical inquiries from many sources, including the Legislature, federal government, stakeholder groups, and the media, for information and reliable data on the regional center and developmental center programs. These types of requests have increased significantly over the last few years and the Department is unable to provide timely and adequate responses due to the lack of sufficient, well-qualified staff to perform fiscal and programmatic research and analysis. With the directive to close the developmental centers and the additional oversight anticipated, DDS is in need of dedicated staff to continually improve and expand the depth of program knowledge to support and inform policy decisions that it faces.

In addition to assisting the Department with responses to external requests for information, a fiscal and programmatic research unit will assist various internal program, budget, and estimate sections in the analysis of expenditures, reimbursements, and service delivery trends and thus, develop more reliable and accurate data to develop proposals, recommendations, and solutions to issues facing the Department.

Some of DDS' most critical issues require reliable and timely data including regional center purchase of service expenditure growth geographically and by regional center, provider services availability and trends in the community service delivery system, disparities data, maximizing the use of third party funds and federal funds, rates, as well as the impact of an increased number of consumers with autism aging out of the school system. Other research issues identified include meeting the needs of individuals with challenging service needs/resource development, compliance with Title 17 regarding special incident reporting requirements, and fair hearing data.

DDS reviewed its existing resources and determined that it does not have the capacity necessary to respond to external inquiries and analyze system-wide issues affecting the regional center and developmental center programs. More specifically, existing positions are assigned to dedicated and specific program functions and cannot accommodate additional workload resulting from multiple external requests. DDS has met with and reviewed the research functions of other Health and Human Services Agency departments, specifically the Departments of Social Services, State Hospitals, and Health Care Services, and found that each has resources dedicated to provide the levels of research and analysis for their statewide and system-wide issues. A similar resource is needed at DDS.

The technical expertise and leadership of IT data extraction and programming experts will be required to support and ensure the success of the DDS Fiscal and Program Research Unit. IT staff will be needed in this Unit to provide analysis of data sets from various data sources and to provide programming expertise to extract the requested data.

Over the past three years DDS' data extraction unit has responded to approximately 3,800 requests for data with 3.0 dedicated positions which have been continuously filled. The data requests are usually ad hoc in nature and vary from simple summaries of different data to producing multiple spreadsheets with pivot tables. The data extraction unit produces data but is not involved in any analysis of the data or interpretation of the data for program needs. The current resources are not adequate for confirmation of data integrity, accuracy and communication. The top data requests included information related to purchase of service costs, regional center data, service codes, status of consumers, vendors, and age and number of consumers.

If this proposal is not approved, there will be little to no improvement in DDS' ability to respond to sensitive and critical external inquiries for data and information, or in the ability to provide the

required analytic consultation to better inform policy decisions and monitor the performance of the regional and developmental centers and the impacts to the Lanterman Act programs and budget. As the population that DDS serves continues to grow, age, and require different service modalities, DDS will be unable to adequately monitor statewide trends and provide recommendations to various stakeholders.

E. Outcomes and Accountability

With fiscal research and analysis resources, DDS will develop tools for policy and modeling impacts of proposed policy initiatives; perform literature reviews; summarize policy, statutes, and research relevant to proposed initiatives; and produce charts, maps, tables, issue briefs, and research papers. Similarly, DDS will develop a library of information and institutional knowledge with an inventory of useful and relevant facts, including existing statutes and regulations, policies, procedures, literature, other state and national programs for similar populations, national core indicators, quality assurance information, and special incident reports.

DDS will be able to disseminate relevant program information to inform policy decisions and educate interested parties. These resources will promote transparency, accountability, participation, and collaboration between DDS staff, regional centers, developmental centers, stakeholders, taxpayers, and policy makers for the benefit of persons with developmental disabilities in California.

Data from the Fiscal and Program Research Unit will assist DDS in providing more emphasis on mandated oversight responsibilities of the regional center services provided to persons with developmental disabilities through a vast vendorized program.

F. Analysis of All Feasible Alternatives

1. Establish seven permanent positions and funding within DDS, fund one redirected vacant position, and fill with staff who have required skills, knowledge, and abilities to perform research work.

Pros:

- Builds institutional knowledge and expertise within the Department.
- Prioritizes analysis and research of departmental issues.
- Enables effective and timely response of accurate, reliable, and data-driven recommendations and solutions.
- Provides context for the data collected by the Department that will result in actionable information.
- Expands DDS' ability to provide useful and reliable information for legislative hearings and testimony.
- Provides improved data for better oversight of the regional centers.

Cons:

- The costs for additional positions.
- The phase-in time required to build capacity in DDS.

2. Status quo.

Pros:

- No additional costs.

Cons:

- No improvement of timely, accurate, and data supported information and no improved oversight functions.

3. Redirect positions within the Department.

Pros:

- No additional costs.

Cons:

- Current DDS' workload may not be adequately addressed.

4. Contract with a recognized non-profit policy research foundation to perform the research and analysis functions for DDS.

Pros:

- Acquire immediate expertise for research of data driven policy recommendations.

Cons:

- There would be unknown costs for this type of personal services contract.
- Statutory restrictions limit contracting for services that can be provided by civil service classifications.

5. Develop an Interagency Agreement with another state department that has the expertise to perform the work.

Pros:

- Encourages cross collaboration across programs and utilization of current state resources.

Cons:

- Unknown reimbursement costs for this type of service from another department and the function may not be absorbable or a priority for another department
- Does not develop institutional knowledge and expertise within DDS.

G. Implementation Plan

The priority will be to fill the Research Manager and Data Processing Manager positions first and then immediately move to fill the other positions with goal of all positions filled soon after the 2016-17 budget enactment. To accomplish this, DDS will begin testing and recruiting to fill the positions in the 2015-16 current year.

Hire Staff: 6 months for testing, recruitment, interviews and appointments.

Develop Procedures/ Models/ Inventory/ Report Formats: 3 months from filling positions.

Establish Steering Committee: Two months from budget enactment.

Produce Annual Plan: 6 months from filling positions.

Implement Research: 4 months from filling positions.

Issue Reports: Dependent on Steering Committee direction and complexity of research plan.

H. Supplemental Information

The total funding request reflects the Department's average costs for the standard complement of Operating Expenses and Equipment. The workload analysis for each position follows below:

Data Processing Manager II - Fiscal and Program Research Unit

TASKS	ANNUAL HOURS	PYs
Manage Research Unit and provide Liaison support to customers; assist DDS program staff and management in meeting State reporting requirements; communicate methodological issues so they are clearly understood by the requestor; ensure all necessary data is collected for inclusion and provided to the requestor; and facilitate the development and maintenance of effective research data collection procedures.	600	
Oversee the planning, developing, and executing of programs that access the Department's databases for complex information retrieval tasks; manage the development and design of a data dashboard with real time data metrics, population, and reports from the Enterprise Data Warehouse using business intelligence tools and departmental standard software tools; facilitate loading the data using web services and automating scripts for scheduling tasks and other data warehouse solutions; and provide statistical and technical expertise as well as research capabilities support to staff.	430	
Analyze data maintained by DDS (including the use of statistical and mathematical functions), in relation to its integrity, consistency, and timeliness for on-going jobs or in response to specific requests made by DDS management; work with DDS program staff to improve the quality of the data maintained by the Department; and coordinate the design and support of production systems for storage and retrieval of department information.	520	
Work with security and network infrastructure staff to identify data solutions for organizational, budgetary, and legislative needs; advise staff in creating charts and graphs to display information and produce written and electronic reports for use within and outside the Department; and provide data solutions for customer requests.	250	
Total Data Processing Manager II	1800	1.0

Research Manager II - Fiscal and Program Research Unit

TASKS	ANNUAL HOURS	PYs
Guide and direct the work of the Fiscal and Program Research Unit to improve, expand and centralize the inventory of program information and knowledge for California's Developmental Disabilities system.	800	
Provide consultation to DDS executive management, Regional Centers, Developmental Centers, Agency, Department of Finance, Legislative staff, and other stakeholders on a variety of topics.	600	
Review section work product for accuracy, policy relevance, and effective communication of the analytical findings in key topic areas for the department.	400	
Total Research Manager II	1800	1.0

Research Program Specialist II - Fiscal and Program Research Unit

TASKS	ANNUAL HOURS	PYs
Provide focused oversight of assigned evaluative research projects and hands on technical knowledge to the team working under his/her direction in all phases of analysis and evaluation development including design, data analysis, literature review, statutory authority review, and project reports. Ensure the findings are clearly and effectively communicated to a general audience.	1000	
Work in collaboration with departmental and external program experts to identify areas of inquiry into the operation and provision of services for Californian's with developmental disabilities, including use and limitations of generic resources in education, health care, social services, and client rights.	400	
Provide consultation to department and regional center staff in routine program reviews, budget development, audit and other monitoring activities.	300	
Develop and conduct presentations of the section's findings to department staff, regional center staff, and other stakeholders as requested.	100	
Total Research Program Specialist II	1800	1.0

Research Program Specialist I - Fiscal and Program Research Unit

TASKS	ANNUAL HOURS	PYs
Design research methodology and techniques to quantify and explain drivers of trending population and fiscal changes in services provided to regional center consumers using a variety of statistical, mathematical, and sociological approaches.	750	
Develop a process for the systematic review of data gathered by DDS directly, through regional centers, or through other contractors to produce relevant analysis of emergent issues and related outcome measures for regional center consumers. Develop detailed knowledge of reasons for changes in the data over a period of time.	750	
Consult with expert program staff to increase institutional knowledge of system operations, strengths, weaknesses and changes in the field in assigned area of responsibility.	200	
Conduct presentations of section findings to department staff, regional center staff, and other stakeholders as requested.	100	
Total Research Program Specialist I	1800	1.0

Research Analyst I - Fiscal and Program Research Unit

TASKS	ANNUAL HOURS	PYs
Conduct special analyses and research projects on a variety of issues impacting California's service delivery system. Work with all levels within the organization to obtain necessary information to develop meaningful analysis of trends.	800	
Develop actionable information based on local trends observed in regional center caseload growth, purchase of service utilization change, treatment modalities relevant to diagnoses such as autism, pervasive developmental disorder, cerebral palsy and others.	800	
Compile, review, and index governing statute, regulations, literature searches, industry best practices, relevant audit findings for each assigned program area.	200	
Total Research Analyst II	1800	1.0

Associate Information Systems Analyst - Fiscal and Program Research Unit

TASKS	ANNUAL HOURS	PYs
Analyze DDS data files to ensure the cost-effective deployment of accurate, timely and consistent data in reports to customers; access data reports to ensure information has accurate consumer data; assist IT staff in presenting data report results and explaining research methodologies to management, which allows them to make informed decisions; and review data reporting process to ensure reliability, validity, integrity and comprehensiveness of data.	180	
Consult with program staff and assist on projects/requests requiring the exchange of confidential data and information; consults with DDS' IT staff to define customer requirements, develop solutions, and fulfill information needs; provide analysis and specifications for program changes to capture additional data; recommend program strategies and policy changes based on analysis of data; and facilitate collaboration with other resources for specific data requests and/or analyses.	630	
Provide oversight of specific production programs as well as the creation of numerous ad hoc reports using a variety of formats; coordinate with developers to specify requirements for program changes; assist IT staff in their preparation of ad hoc and scheduled reports; and provide expertise and guidance to internal and external customers to identify data requirements and appropriate information products.	540	
Perform statistical, mathematical, and other analyses for special studies related to consumer data and management information issues; assist in analyzing system requirements and modifications to meet current and future program needs; and use qualitative and quantitative methods to assist in designing methodology to conduct comprehensive research and analysis.	450	
Total Associate Information Systems Analyst	1800	1.0

Staff Information Systems Analyst (Specialist) - Fiscal and Program Research Unit		
TASKS	ANNUAL HOURS	PYs
Provide research and advanced technical expertise and understanding of data needs and data resources to respond to data requests. Develop standard data procedures to ensure data consistency. Provide ongoing monitoring of data elements, coding and data quality.	180	
Develop standard and ad hoc data reports utilizing tools from existing and new operational data stores; code and prepare static and dynamic reports to display on various DDS data dashboards; consult with subject matter experts and the Research Unit Manager to confirm that details and format of data reports are understood prior to writing and coding the reports; and develop new application for the uses of client data and the construction of reports and data products.	720	
Develop complex programs for the Department's data systems to fulfill internal and external oversight and data compliance requirements. Conduct data retrieval and analysis to develop regular and on-demand modifications and management reports as necessary and prepare and transmit datasets that are required as part of the research design.	630	
Develop complex data extraction code to extract and format data from the database to meet the data collection goals; provide statistical modeling expertise; ensure the needed data is collected through statistically valid data collection tools; identify necessary data elements to comply with objectives; and extract needed data from the statewide database.	270	
Total Staff Information Systems Analyst (Specialist)	1800	1.0

Office Technician - Fiscal and Program Research Unit		
TASKS	ANNUAL HOURS	PYs
Maintain section workload deadlines, prepare meeting materials, schedule meetings, edit materials for distribution, update website with approved publications, and respond to basic inquiries from the public.	1100	
Provide administrative support for section's employee timekeeping, supply ordering, and travel arrangements, screen incoming correspondence, and inventory work products.	700	
Total Office Technician	1800	1.0

I. Recommendation

Establish seven permanent positions and fund one redirected vacant position, effective July 2016, and fill with staff who have the required skills, knowledge, and abilities to perform research work. This investment will provide accurate, reliable, and data-driven recommendations and solutions. This proposal will promote transparency, accountability, participation, and collaboration between DDS staff, regional centers, developmental centers, stakeholders, taxpayers, and policy makers for the benefit of persons with developmental disabilities in California.

If this proposal is not approved, DDS will be unable to respond to time-sensitive and critical inquiries, or provide analytic consultation to better inform policy decisions and monitor the performance of the regional and developmental centers and the impacts to the Lanterman Act programs and budget. As the population that DDS serves continues to increase, age, and require different service modalities, DDS will be unable to adequately monitor statewide trends and provide recommendations to various stakeholders.

BCP Fiscal Detail Sheet

BCP Title: Fiscal and Program Research Unit

DP Name: 4300-002-BCP-DP-2016-GB

Budget Request Summary

	FY16					
	CY	BY	BY+1	BY+2	BY+3	BY+4
Positions - Permanent	0.0	7.0	7.0	7.0	7.0	7.0
Total Positions	0.0	7.0	7.0	7.0	7.0	7.0
Salaries and Wages						
Earnings - Permanent	0	536	536	536	536	536
Total Salaries and Wages	\$0	\$536	\$536	\$536	\$536	\$536
Total Staff Benefits	0	259	259	259	259	259
Total Personal Services	\$0	\$795	\$795	\$795	\$795	\$795
Operating Expenses and Equipment						
5301 - General Expense	0	32	32	32	32	32
5304 - Communications	0	8	8	8	8	8
5306 - Postage	0	7	7	7	7	7
5320 - Travel: In-State	0	8	8	8	8	8
5322 - Training	0	8	8	8	8	8
5324 - Facilities Operation	0	40	40	40	40	40
5344 - Consolidated Data Centers	0	17	17	17	17	17
5346 - Information Technology	0	8	8	8	8	8
Total Operating Expenses and Equipment	\$0	\$128	\$128	\$128	\$128	\$128
Total Budget Request	\$0	\$923	\$923	\$923	\$923	\$923

Fund Summary

Fund Source - State Operations						
0001 - General Fund	0	630	630	630	630	630
0995 - Reimbursements	0	293	293	293	293	293
Total State Operations Expenditures	\$0	\$923	\$923	\$923	\$923	\$923
Total All Funds	\$0	\$923	\$923	\$923	\$923	\$923

Program Summary

Program Funding						
4140023 - Community Services Division	0	923	923	923	923	923
Total All Programs	\$0	\$923	\$923	\$923	\$923	\$923

Personal Services Details

Positions	Salary Information								
	Min	Mid	Max	CY	BY	BY+1	BY+2	BY+3	BY+4
1312 - Staff Info Sys Analyst (Spec)				0.0	1.0	1.0	1.0	1.0	1.0
1384 - Dp Mgr II				0.0	1.0	1.0	1.0	1.0	1.0
1470 - Assoc Info Sys Analyst (Spec)				0.0	1.0	1.0	1.0	1.0	1.0
5729 - Research Analyst I				0.0	1.0	1.0	1.0	1.0	1.0
5737 - Research Mgr II				0.0	1.0	1.0	1.0	1.0	1.0
5742 - Research Program Spec I				0.0	1.0	1.0	1.0	1.0	1.0
5758 - Research Program Spec II				0.0	1.0	1.0	1.0	1.0	1.0
Total Positions				0.0	7.0	7.0	7.0	7.0	7.0
Salaries and Wages	CY	BY	BY+1	BY+2	BY+3	BY+4			
1312 - Staff Info Sys Analyst (Spec)	0	75	75	75	75	75			
1384 - Dp Mgr II	0	95	95	95	95	95			
1470 - Assoc Info Sys Analyst (Spec)	0	70	70	70	70	70			
5729 - Research Analyst I	0	48	48	48	48	48			
5737 - Research Mgr II	0	95	95	95	95	95			
5742 - Research Program Spec I	0	75	75	75	75	75			
5758 - Research Program Spec II	0	78	78	78	78	78			
Total Salaries and Wages	\$0	\$536	\$536	\$536	\$536	\$536	\$536		
Staff Benefits									
5150350 - Health Insurance	0	41	41	41	41	41			
5150500 - OASDI	0	41	41	41	41	41			
5150600 - Retirement - General	0	135	135	135	135	135			
5150800 - Workers' Compensation	0	3	3	3	3	3			
5150900 - Staff Benefits - Other	0	39	39	39	39	39			
Total Staff Benefits	\$0	\$259	\$259	\$259	\$259	\$259	\$259		
Total Personal Services	\$0	\$795	\$795	\$795	\$795	\$795	\$795		